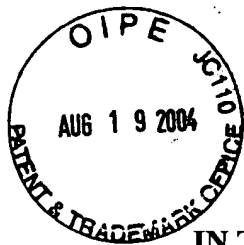


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PATENT  
Attorney Docket No. ASC-044C1

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANTS: Fitzgerald *et al*  
SERIAL NO.: 10/611,739 GROUP NO.: 2818  
FILING DATE: July 1, 2003 EXAMINER: Le, Dung Anh  
TITLE: METHOD OF FABRICATING CMOS INVERTER AND  
INTEGRATED CIRCUITS UTILIZING STRAINED SILICON  
SURFACE CHANNEL MOSFETS

Mail Stop Issue Fee  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Sir:

The references listed on the enclosed PTO-1449 and enclosed herewith are submitted solely in compliance with the duty of candor. It is understood that this Information Disclosure Statement does not fall within the provisions of 37 C.F.R. §1.97. Please note that reference A157 has previously been cited to the U.S. Patent and Trademark Office by its U.S. patent application serial number in an Information Disclosure Statement filed for the above-referenced application. In accordance with the U.S. Patent Office's partial waiver of the requirement under 37 C.F.R. 1.98(a)(2)(i), only copies of the foreign patent documents and non-patent publications are enclosed.

In addition, Applicants wish to inform the Examiner about the following co-pending patent applications and Office Actions cited therein:

- 1) U.S. Serial No. 09/611,024 (Docket No. ASC-023C1) filed on 06/07/2000, by Fitzgerald;
- 2) U.S. Serial No. 10/774,890 (Docket No. ASC-049C1) filed on 02/09/2004, by Fitzgerald;
- 3) U.S. Serial No. 10/802,185 (Docket No. ASC-025DVC1) filed on 03/17/2004, by Cheng *et al.*;
- 4) U.S. Serial No. 10/802,186 (Docket No. ASC-025DV2C1) filed on 03/17/2004, by Cheng *et al.*;
- 5) U.S. Serial No. 10/826,156 (Docket No. ASC-023C2) filed on 04/16/2004, by Fitzgerald; and
- 6) U.S. Serial No. 10/854,556 (Docket No. ASC-054C1) filed on 05/26/2004, by Fitzgerald.

It is respectfully requested that the patents and publications listed on the attached Form PTO-1449, and other information contained herein, be made of record in this application.

Respectfully submitted,

Date: August 17, 2009  
Reg. No. 44,381

Tel. No.: (617) 310-8327  
Fax No.: (617) 248-7100

VER 12/00  
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**PATENT**  
Attorney Docket No. ASC-044C1

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANT(S): Fitzgerald *et al.*  
SERIAL NO.: 10/611,739 GROUP NO.: 2818  
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SURFACE CHANNEL MOSFETS

**CERTIFICATE OF FIRST CLASS MAILING UNDER 37 C.F.R. 1.8**

I hereby certify that this correspondence, and any document(s) referred to as enclosed herein, is/are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to the Mail Stop Issue Fee Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this 17<sup>th</sup> day of August, 2004.

  
Wendy Martin

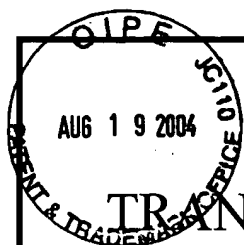
Mail Stop Issue Fee  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Submitted herewith are:

1. Transmittal Form (1 pg.);
2. Supplemental Information Disclosure Statement (2 pgs.);
3. PTO Form – 1449 (2 pgs.);
4. Copies of Cited References B44-B48 and C92-C97;
5. Return Receipt Postcard.

3106262



# TRANSMITTAL FORM

Application Serial Number	10/611,739
Filing Date	July 1, 2003
First Named Inventor	Fitzgerald <i>et al.</i>
Group Art Unit	2818
Examiner Name	Dung Anh Le
Attorney Docket No.	ASC-044C1
Patent No.	Not applicable
Issue Date	Not applicable

## ENCLOSURES (check all that apply)

- |  |   |   |
|--|---|---|
| <input type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> 2 Checks Attached<br><input type="checkbox"/> Copy of Fee Transmittal Form<br><br><input type="checkbox"/> Amendment/Response<br><input type="checkbox"/> Preliminary<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Letter to Official Draftsperson including Drawings [Total Sheets _____]<br><br><input type="checkbox"/> Petition for Extension of Time<br><br><input checked="" type="checkbox"/> Information Disclosure Statement<br><input checked="" type="checkbox"/> Form PTO-1449<br><input checked="" type="checkbox"/> Copies of IDS B44-B48 and C92-C97<br><br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><br><input type="checkbox"/> Sequence Listing submission<br><input type="checkbox"/> Paper Copy/CD<br><input type="checkbox"/> Computer Readable Copy<br><input type="checkbox"/> Statement verifying identity of above | <input type="checkbox"/> Copy of Notice to File Missing Parts of Application<br><br><input type="checkbox"/> Formal Drawing(s)<br><br><input type="checkbox"/> Request For Continued Examination (RCE) Transmittal<br><br><input type="checkbox"/> Power of Attorney (Revocation of Prior Powers)<br><br><input type="checkbox"/> Terminal Disclaimer<br><br><input type="checkbox"/> Executed Declaration and Power of Attorney for Utility or Design Patent Application<br><br><input type="checkbox"/> Small Entity Statement<br><br><input type="checkbox"/> CD(s) for large table or computer program<br><br><input type="checkbox"/> Amendment After Allowance<br><br><input type="checkbox"/> Request for Certificate of Correction<br><input type="checkbox"/> Certificate of Correction (in duplicate) | <input type="checkbox"/> Notice of Appeal to Board of Patent Appeals and Interferences<br><br><input type="checkbox"/> Appeal Brief (in triplicate)<br><br><input type="checkbox"/> Status Inquiry<br><br><input checked="" type="checkbox"/> Return Receipt Postcard<br><input checked="" type="checkbox"/> Certificate of First Class Mailing under 37 C.F.R. 1.8<br><br><input type="checkbox"/> Certificate of Facsimile Transmission under 37 C.F.R. 1.8<br><br><input type="checkbox"/> Additional Enclosure(s) (please identify below) |
|--|---|---|

## CORRESPONDENCE ADDRESS

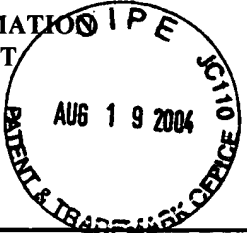
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## SIGNATURE BLOCK

Respectfully submitted,

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Tel. No.: (617) 310-8327  
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<b>FORM PTO - 1449</b> <b>SUPPLEMENTAL INFORMATION</b> <b>DISCLOSURE STATEMENT</b>				ATTY DOCKET NO.: ASC-044C1 APPLICANT(S): Fitzgerald <i>et al.</i> SERIAL NO.: 10/611,739 FILING DATE: July 1, 2003 GROUP: 2818					
									
U.S. PATENT DOCUMENTS									
EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE		
	A140	4,987,462	01/22/1991	Kim <i>et al.</i>	357	22	01/06/1987		
	A141	5,240,876	08/31/1993	Gaul <i>et al.</i>	437	131	06/01/1992		
	A142	5,424,243	06/13/1995	Takasaki	437	132	09/09/1994		
	A143	5,572,043	11/05/1996	Shimizu <i>et al.</i>	257	18	05/15/1995		
	A144	5,786,614	07/28/1998	Chuang <i>et al.</i>	257	318	04/08/1997		
	A145	6,352,909	03/05/2002	Usenko	438	458	05/26/2000		
	A146	6,524,935	02/25/2003	Canaperi <i>et al.</i>	438	478	09/29/2000		
	A147	6,646,322	11/11/2003	Fitzgerald	257	531	07/16/2001		
	A148	6,677,192	01/13/2004	Fitzgerald	438	172	07/16/2001		
	A149	6,703,144	03/09/2004	Fitzgerald	428	641	03/18/2003		
	A150	6,703,688	03/09/2004	Fitzgerald	257	616	7/16/2001		
	A151	6,709,903	03/23/2004	Christiansen	438	149	04/30/2003		
FOREIGN PATENT DOCUMENTS									
EXAM. INIT.		DOCUMENT NUMBER	DATE	COUNTRY CODE	CLASS	SUB CLASS	FILING DATE	ABSTRACT ONLY	ENGLISH LANG (Y/N)
	B44	2004/006327	01/15/2004	WO					Y
	B45	2004/0006311	01/15/2004	WO					Y
	B46	61-141116	06/28/1986	JP					Y (abstract only)
	B47	2-210816	08/22/1990	JP					Y (abstract only)
	B48	3-036717	02/18/1991	JP					Y
EXAM. INIT.	<b>OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)</b>								
	C92	Grillot <i>et al.</i> , "Acceptor diffusion and segregation in $(\text{Al}_x\text{Ga}_{1-x})_{0.5}\text{In}_{0.5}\text{P}$ heterostructures," <u>Journal of Applied Physics</u> , Vol. 91, No. 8 (2002), pp. 4891-4899.							
	C93	Halsall <i>et al.</i> , "Electron diffraction and Raman studies of the effect of substrate misorientation on ordering in the $\text{AlGaInP}$ system," <u>Journal of Applied Physics</u> , Vol. 85, No. 1 (1999), pp. 199-202.							
	C94	Hsu <i>et al.</i> , "Surface morphology of related $\text{Ge}_x\text{Si}_{1-x}$ films," <u>Appl. Phys. Lett.</u> , Vol. 61, No. 11 (1992), pp. 1293-1295							
EXAMINER					DATE CONSIDERED				

<b>FORM PTO - 1449</b>				<b>ATTY DOCKET NO.:</b> ASC-044C1			
<b>SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT</b>				<b>APPLICANT(S):</b> Fitzgerald <i>et al.</i>			
				<b>SERIAL NO.:</b> 10/611,739			
				<b>FILING DATE:</b> July 1, 2003			
				<b>GROUP:</b> 2818			
<b>U.S. PATENT DOCUMENTS</b>							
EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	A152	6,713,326	03/30/2004	Cheng <i>et al.</i>	438	149	03/04/2003
	A153	6,723,661	04/24/2003	Fitzgerald	438	763	07/16/2001
	A154	6,737,670	05/18/2004	Cheng <i>et al.</i>	257	19	03/07/2003
	A155	6,750,130	06/15/2004	Fitzgerald	438	607	01/07/2001
	A156	2002/0084000	07/04/2002	Fitzgerald	148	33.2	12/17/2001
	A157	2003/0034529	02/20/2003	Fitzgerald <i>et al.</i>	257	369	10/08/2002
	A158	2003/0102498	06/05/2003	Braithwaite <i>et al.</i>	257	288	09/24/2002
	A159	2003/0199126	10/23/2003	Chu <i>et al.</i>	438	149	04/23/2002
	A160	2003/0203600	10/30/2003	Chu <i>et al.</i>	438	479	06/28/2003
	A161	2003/0215990	11/20/2003	Fitzgerald <i>et al.</i>	438	172	03/14/2003
	A162	2003/0218189	11/27/2003	Christiansen	257	200	11/19/2002
	A163	2003/0227057	12/1/2003	Lochtefeld <i>et al.</i>	257	347	10/04/2002
	A164	2004/0005740	01/01/2004	Lochtefeld <i>et al.</i>	438	149	06/06/2003
	A165	2004/0014304	01/22/2004	Bhattacharyya	438	570	07/18/2002
	A166	2004/0031979	01/01/2004	Lochtefeld	257	233	06/06/2003
	A167	2004/0041210	03/04/2004	Mouli	257	347	09/02/2003
	A168	2004/0075149	04/22/2004	Fitzgerald <i>et al.</i>	257	369	07/23/2003
<b>EXAM. INIT.</b>	<b>OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)</b>						
	C95	<u>IBM Technical Disclosure Bulletin</u> , Volume 32, No. 8A, January 1990, "Optimal Growth Technique and Structure for Strain Relaxation of Si-Ge Layers on Si Substrates", pp. 330-331.					
	C96	Ota, Y. et al., "Application of heterojunction FET to power amplifier for cellular telephone," <u>Electronics Letters</u> , Vol. 30 No. 11 (May 26, 1994) pp. 906-907.					
	C97	Sakaguchi et al., "ELTRAN® by Splitting Porous Si Layers," Proc. 195 <sup>th</sup> Int. SOI Symposium, Vol. 99-3, <u>Electrochemical Society</u> (1999) pp. 117-121.					
<b>EXAMINER</b>				<b>DATE CONSIDERED</b>			